

**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 16869K-090400US

First Inventor NAKAMURA, Yasuaki

Title DISK CONTROL SYSTEM AND CONTROL METHOD  
OF DISK CONTROL SYSTEM

Express Mail Label No. EV346922415US

|   |  |   |  |
|---|--|---|--|
| <b>APPLICATION ELEMENTS</b><br><small>See MPEP chapter 600 concerning design patent application contents.</small>   |  | <b>ADDRESS TO</b><br><small>Mail Stop Patent Application<br/>Commissioner for Patents<br/>P.O. Box 1450<br/>Alexandria, VA 22313-1450</small>   |  |
| 1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17)<br><small>(Submit an original and a duplicate for fee processing)</small>   |  | 7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or<br>Computer Program (Appendix)  |  |
| 2. <input type="checkbox"/> Applicant claims small entity status.<br><small>See 37 CFR 1.27.</small>  |  | 8. Nucleotide and/or Amino Acid Sequence Submission<br><small>(if applicable, all necessary)</small>  |  |
| 3. <input checked="" type="checkbox"/> Specification <small>[Total Pages 21]</small><br><small>(preferred arrangement set forth below)</small> <ul style="list-style-type: none"> <li>- Descriptive title of the Invention</li> <li>- Cross Reference to Related Applications</li> <li>- Statement Regarding Fed sponsored R &amp; D</li> <li>- Reference to sequence listing, a table, or a computer program listing appendix</li> <li>- Background of the Invention</li> <li>- Brief Summary of the Invention</li> <li>- Brief Description of the Drawings (<i>if filed</i>)</li> <li>- Detailed Description</li> <li>- Claim(s)</li> <li>- Abstract of the Disclosure</li> </ul> |  | a. <input type="checkbox"/> Computer Readable Form (CRF)<br>b. Specification Sequence Listing on: <ul style="list-style-type: none"> <li>i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or</li> <li>ii. <input type="checkbox"/> paper number of pages</li> </ul> c. <input type="checkbox"/> Statements verifying identity of above copies   |  |
| 4. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) <small>[Total Sheets 6]</small>   |  | 9. <input type="checkbox"/> Assignment Papers (cover sheet & document(s))   |  |
| 5. Oath or Declaration <small>[Total Pages ]</small>  |  | 10. <input type="checkbox"/> 37 CFR 3.73(b) Statement <input type="checkbox"/> Power of<br><small>(when there is an assignee)</small> Attorney  |  |
| a. <input type="checkbox"/> Newly executed (original or copy)<br>b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63 (d))<br><small>(for a continuation/divisional with Box 18 completed)</small>  |  | 11. <input type="checkbox"/> English Translation Document ( <i>if applicable</i> )  |  |
| i. <input type="checkbox"/> <b>DELETION OF INVENTOR(S)</b><br><small>Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).</small>  |  | 12. <input checked="" type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input checked="" type="checkbox"/> Copies of IDS Citations (1)   |  |
| 6. <input checked="" type="checkbox"/> Application Data Sheet. See 37 CFR 1.76  |  | 13. <input type="checkbox"/> Preliminary Amendment<br>14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503)<br><small>(Should be specifically itemized)</small><br>15. <input checked="" type="checkbox"/> Certified Copy of Priority Document(s)<br><small>(if foreign priority is claimed) JP 2003-027208</small><br>16. <input type="checkbox"/> Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent<br>17. <input type="checkbox"/> Other: |  |

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in the first sentence of the specification following the title, or in an Application Data Sheet under 37 CFR 1.76:

Continuation     Divisional     Continuation-in-part (CIP)    of prior application No: \_\_\_\_\_

Prior application information: Examiner \_\_\_\_\_ Art Unit: \_\_\_\_\_

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**19. CORRESPONDENCE ADDRESS**

|   |           |  |
|---|-----------|--|
| <input checked="" type="checkbox"/> Customer Number | 20350     | OR <input type="checkbox"/> Correspondence address below |
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| Country   | Telephone | Fax  |

|   |                   |                                   |                 |
|---|-------------------|-----------------------------------|-----------------|
| Name (Print/Type)   | Robert C. Colwell | Registration No. (Attorney/Agent) | 27,431          |
| Signature  |                   | Date                              | August 18, 2003 |

This collection of information is required by 37 CFR 1.53(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed form to the USPTO. Time will vary depending upon the individual case. Any comments or amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Mail Stop Patent Application, P.O. Box 1450, Alexandria, VA 22313-1450. 60020744 v1

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# FEE TRANSMITTAL for FY 2003

Effective 01/01/2003. Patent fees are subject to annual revision.

 Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ 1422)

Complete if Known

|                      |                   |
|----------------------|-------------------|
| Application Number   |                   |
| Filing Date          |                   |
| First Named Inventor | NAKAMURA, Yasuaki |
| Examiner Name        |                   |
| Art Unit             |                   |
| Attorney Docket No.  | 16869K-090400US   |

## METHOD OF PAYMENT (check all that apply)

Check     Credit Card     MoneyOrder     Other     None  
 Deposit Account:

Deposit Account Number **20-1430**

Deposit Account Name **Townsend and Townsend and Crew LLP**

The Commissioner is authorized to: (check all that apply)

- Charge fee(s) indicated below     Credit any overpayments  
 Charge any additional fee(s) during the pendency of this application  
 Charge fee(s) indicated below, except for the filing fee  
 to the above-identified deposit account.

## FEE CALCULATION

## 1. BASIC FILING FEE

Large Entity | Small Entity

| Fee Code | Fee (\$) | Fee Code | Fee (\$) | Fee Description        | Fee Paid |
|----------|----------|----------|----------|------------------------|----------|
| 1001     | 750      | 2001     | 375      | Utility filing fee     | 750      |
| 1002     | 330      | 2002     | 165      | Design filing fee      |          |
| 1003     | 520      | 2003     | 260      | Plant filing fee       |          |
| 1004     | 750      | 2004     | 375      | Reissue filing fee     |          |
| 1005     | 160      | 2005     | 80       | Provisional filing fee |          |

SUBTOTAL (1) (\$750)

## 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

|                    |    | Extra Claims | Fees from below | Fee Paid |
|--------------------|----|--------------|-----------------|----------|
| Total Claims       | 11 | -20** = 0    | X\$18           | \$0      |
| Independent Claims | 11 | -3** = 8     | X\$84           | \$672    |
| Multiple Dependent |    |              | X               |          |

Large Entity | Small Entity

| Fee Code | Fee (\$) | Fee Code | Fee (\$) | Fee Description  |
|----------|----------|----------|----------|--|
| 1202     | 18       | 2202     | 9        | Claims in excess of 20                                     |
| 1201     | 84       | 2201     | 42       | Independent claims in excess of 3                          |
| 1203     | 280      | 2203     | 140      | Multiple dependent claim, if not paid                      |
| 1204     | 84       | 2204     | 42       | ** Reissue independent claims over original patent         |
| 1205     | 18       | 2205     | 9        | ** Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) (\$672)

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

| 3. ADDITIONAL FEES  |              |          |          |  |          |
|---------------------|--------------|----------|----------|--|----------|
| Large Entity        | Small Entity | Fee Code | Fee (\$) | Fee Description  | Fee Paid |
| 1051                | 130          | 2051     | 65       | Surcharge - late filing fee or oath  |          |
| 1052                | 50           | 2052     | 25       | Surcharge - late provisional filing fee or cover sheet                     |          |
| 1053                | 130          | 1053     | 130      | Non-English specification  |          |
| 1812                | 2,520        | 1812     | 2,520    | For filing a request for reexamination                                     |          |
| 1804                | 920*         | 1804     | 920*     | Requesting publication of SIR prior to Examiner action                     |          |
| 1805                | 1,840*       | 1805     | 1,840*   | Requesting publication of SIR after Examiner action                        |          |
| 1251                | 110          | 2251     | 55       | Extension for reply within first month                                     |          |
| 1252                | 410          | 2252     | 205      | Extension for reply within second month                                    |          |
| 1253                | 930          | 2253     | 465      | Extension for reply within third month                                     |          |
| 1254                | 1,450        | 2254     | 725      | Extension for reply within fourth month                                    |          |
| 1255                | 1,970        | 2255     | 985      | Extension for reply within fifth month                                     |          |
| 1401                | 320          | 2401     | 160      | Notice of Appeal   |          |
| 1402                | 320          | 2402     | 160      | Filing a brief in support of an appeal                                     |          |
| 1403                | 280          | 2403     | 140      | Request for oral hearing   |          |
| 1451                | 1,510        | 1451     | 1,510    | Petition to institute a public use proceeding                              |          |
| 1452                | 110          | 2452     | 55       | Petition to revive – unavoidable   |          |
| 1453                | 1,300        | 2453     | 650      | Petition to revive – unintentional   |          |
| 1501                | 1,300        | 2501     | 650      | Utility issue fee (or reissue)   |          |
| 1502                | 470          | 2502     | 235      | Design issue fee   |          |
| 1503                | 630          | 2503     | 315      | Plant issue fee  |          |
| 1460                | 130          | 1460     | 130      | Petitions to the Commissioner  |          |
| 1807                | 50           | 1807     | 50       | Petitions related to provisional applications                              |          |
| 1806                | 180          | 1806     | 180      | Submission of Information Disclosure Stmt                                  |          |
| 8021                | 40           | 8021     | 40       | Recording each patent assignment per property (times number of properties) |          |
| 1809                | 750          | 2809     | 375      | Filing a submission after final rejection (37 CFR § 1.129(a))              |          |
| 1810                | 750          | 2810     | 375      | For each additional invention to be examined (37 CFR § 1.129(b))           |          |
| 1801                | 750          | 2801     | 375      | Request for Continued Examination (RCE)                                    |          |
| 1802                | 900          | 1802     | 900      | Request for expedited examination of a design application                  |          |
| Other fee (specify) |              |          |          |  |          |

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

(\$)

## SUBMITTED BY

Complete (if applicable)

|                   |   |                                   |        |           |                 |
|-------------------|---|-----------------------------------|--------|-----------|-----------------|
| Name (Print/Type) | Robert C. Colwell   | Registration No. (Attorney/Agent) | 27,431 | Telephone | 650-326-2400    |
| Signature         |  |                                   |        | Date      | August 18, 2003 |

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